

Appendix I

Pathway to Substantial Conformity

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Outcomes and Systemic Factors	Performance Indicator	How Indicators Are Rated	Determining Substantial Achievement on Individual Cases	Determining Substantial Conformity for the State Agency	Program Improvement Plans (PIPs)	Penalties
Safety Outcome 1: Children are, first and foremost, protected from abuse and neglect.	Timeliness of Initiating Investigations of Reports of Child Maltreatment – on site	Strength or Area Needing Improvement	Both onsite indicators must be rated strengths in the case reviewed.	In 95% of the cases reviewed (90% on the initial review), this outcome must be rated “substantially achieved,” plus the statewide data indicators must meet the national standards.	If the outcome is not determined to be substantially achieved, the PIP must include measures to bring the outcome up to substantial achievement and measures to bring the statewide data indicators up to the national standard (or the amount of progress negotiated by the State and the Regional Office). Safety outcomes determined not to be in substantial conformity must be given priority in the PIP and addressed in less than 2 years.	A 1% penalty (increased to 2% & 3% in subsequent reviews for continuous non-conformity) is applied to the outcome if determined not to be in substantial conformity. The penalty applies until the outcome is determined to be in substantial conformity. Penalties will be withheld at the point the State fails to meet approved timeframes or benchmarks of progress in the PIP.
	Recurrence of Maltreatment – on site	Strength or Area Needing Improvement				
	Recurrence of Maltreatment – statewide data	National Standard				
	Incidence of Child Abuse and/or Neglect in Foster Care – statewide data	National Standard				

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Safety Outcome 2: Children are safely maintained in their homes whenever possible and appropriate.	Services to Family to Protect Children in Home and Prevent Removal – on site	Strength or Area Needing Improvement	Both onsite indicators must be rated strengths in the case reviewed.	In 95% of the cases reviewed (90% on the first review), this outcome must be rated “substantially achieved,” plus all of the statewide data indicators must meet the national standards.	Same as Safety Outcome 1 above.	Same as above.
	Current Risk of Harm to Child – on site	Strength or Area Needing Improvement				

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<p>Permanency Outcome 1: Children have permanency and stability in their living situations.</p>	Foster Care Re-entries – on site	Strength or Area Needing Improvement	<p>No more than one of the six onsite indicators may be rated an “area needing improvement” (not all six onsite indicators will apply to every case, so we cannot say 5 out of 6 must be considered a “strength.”)</p>	<p>In 95% of the cases reviewed (90% on the first review), this outcome must be rated “substantially achieved,” plus all of the statewide data indicators must meet the standard.</p>	<p>If the outcome is not determined to be substantially achieved, the PIP must include measures to bring the outcome up to substantial achievement and measures to bring the statewide data indicators up to the national standard (or the amount of progress negotiated by the State and the Regional Office).</p>	<p>Same as above.</p>
	Foster Care Re-entries – statewide data	National Standard				
	Stability of Foster Care Placement – statewide data	National Standard				
	Stability of Foster Care Placement– on site	Strength or Area Needing Improvement				
	Length of Time to Achieve Permanency Goal of Reunification – statewide data	National Standard				

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Permanency Outcome 1: Children have permanency and stability in their living situations (continued).	Length of Time to Achieve Permanency Goal of Adoption – statewide data	National Standard	No more than one of the six onsite indicators may be rated an “area needing improvement” (not all six onsite indicators will apply to every case, so we cannot say 5 out of 6 must be considered a “strength.”)	In 95% of the cases reviewed (90% on the first review), this outcome must be rated “substantially achieved,” plus all of the statewide data indicators must meet the standard.	If the outcome is not determined to be substantially achieved, the PIP must include measures to bring the outcome up to substantial achievement and measures to bring the statewide data indicators up to the national standard (or the amount of progress negotiated by the State and the Regional Office).	Same as above.
	Permanency Goal for Child – on site	Strength or Area Needing Improvement				
	Independent Living Services – on site	Strength or Area Needing Improvement				
	Achievement of Adoption – on site	Strength or Area Needing Improvement				
	Permanency Goal of Other Planned Permanent Living Arrangement – on site	Strength or Area Needing Improvement				

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<p>Permanency Outcome 2: The continuity of family relationships and connections is preserved for children.</p>	Proximity of current placement – on site	Strength or Area Needing Improvement	<p>No more than one of the six indicators may be rated an “area needing improvement” (not all six onsite indicators will apply to every case, so we cannot say 5 out of 6 must be considered a “strength.”)</p>	<p>In 95% of the cases reviewed (90% on the first review), this outcome must be rated “substantially achieved,” plus both of the statewide data indicators must meet the standard.</p>	<p>If the outcome is not determined to be substantially achieved, the PIP must include measures to bring the outcome up to substantial achievement.</p>	<p>Same as above.</p>
	Placement With Siblings – on site	Strength or Area Needing Improvement				
	Visiting with Parents and Siblings in Foster Care – on site	Strength or Area Needing Improvement				
	Preserving Connections – on site	Strength or Area Needing Improvement				
	Relative Placement – on site	Strength or Area Needing Improvement				
	Current Relationship of Child in Care with Parents – on site	Strength or Area Needing Improvement				

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Well-Being Outcome 1: Families have enhanced capacity to provide for their children's needs.	Needs and Services of Child, Parents, Foster Parents – on site	Strength or Area Needing Improvement	No more than one of the five indicators may be rated an “area needing improvement” (not all five onsite indicators will apply to every case, so we cannot say 4 out of 5 must be considered a “strength.”)	This outcome will be rated on the basis of the onsite review. In 95% of the cases reviewed (90% on the first review), this outcome must be rated “substantially achieved.”	If the outcome is not determined to be substantially achieved, the PIP must include measures to bring the outcome up to substantial achievement.	Same as above.
	Child and Family Involvement in Case Planning – on site	Strength or Area Needing Improvement				
	Worker Visits With Child – on site	Strength or Area Needing Improvement				
	Worker Visits with Parents – on site	Strength or Area Needing Improvement				

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Well-Being Outcome 2: Children receive appropriate services to meet their educational needs.	Educational Needs of the Child – on site	Strength or Area Needing Improvement	The indicator must be rated a strength.	This outcome will be rated on the basis of the onsite review. In 95% of the cases reviewed (90% on the first review), this outcome must be rated “substantially achieved.”	If the outcome is not determined to be substantially achieved, the PIP must include measures to bring the outcome up to substantial achievement.	Same as above.
Well-Being Outcome 3: Children receive adequate services to meet their physical and mental health needs.	Physical Health of the Child	Strength or Area Needing Improvement	Both indicators must be rated a strength.	This outcome will be rated on the basis of the onsite review. In 95% of the cases reviewed (90% on the first review), this outcome must be rated “substantially achieved.”	If the outcome is not determined to be substantially achieved, the PIP must include measures to bring the outcome up to substantial achievement.	Same as above.
	Mental Health of the Child	Strength or Area Needing Improvement				

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Systemic Factor #1: Information System Capacity	State is operating a statewide information system that, at a minimum, can readily identify the status, demographic characteristics, location, and goals for the placement of every child who is (or within the immediately preceding 12 months, has been) in foster care.	Strength or Area Needing Improvement	N/A - Not determined on individual cases, but for the State as a whole	There is one performance indicator associated with this systemic factor. In order for the systemic factor to be in substantial conformity, the performance indicator must be rated a 3 or 4.	If the systemic factor is determined not to be in substantial conformity, the PIP must include measures to bring the factor up to substantial conformity, based on the State plan requirements used to determine substantial conformity.	A 1% penalty (increased to 2% & 3% in subsequent reviews for continuous nonconformity) is applied to the systemic factor if determined not to be in substantial conformity. The penalty applies until the factor is determined to be substantially achieved. Penalties will be withheld at the point the State fails to meet approved timeframes or benchmarks of progress in the PIP.

Outcomes and Systemic Factors	Performance Indicator	How Indicators Are Rated	Determining Substantial Achievement on Individual Cases	Determining Substantial Conformity for the State Agency	Program Improvement Plans (PIPs)	Penalties
Systemic Factor #2: Case Review System	Provides a process that ensures that each child has a written case plan to be developed jointly with the child's parent(s) that includes the required provisions	Strength or Area Needing Improvement	N/A	There are five performance indicators associated with this systemic factor. In order for the systemic factor to be in substantial conformity it must be rated a 3 or 4, meaning that all the performance indicators are in place and no more than one fails to function at the level described in each requirement.	If the systemic factor is not rated substantially achieved, the PIP must include measures to bring the factor up to standards.	Same as above.
	Provides a process for the periodic review of the status of each child no less frequently than once every 6 months either by a court or by administrative review.	Strength or Area Needing Improvement				
	Provides a process that ensures that each child in foster care under the supervision of the State has a permanency hearing in a qualified court or administrative body no later than 12 months from the date the child entered foster care and no less frequently than every 12 months thereafter	Strength or Area Needing Improvement				
	Provides a process for termination of parental rights proceedings in accordance with the provisions of the Adoption and Safe Families Act.	Strength or Area Needing Improvement				

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Systemic Factor #2: Case Review System (continued)	Provides a process for foster parents, preadoptive parents, and relative caregivers of children in foster care being notified of, and having an opportunity to be heard in, any review or hearing held with respect to the child.	Strength or Area Needing Improvement	N/A	There are five performance indicators associated with this systemic factor. In order for the systemic factor to be in substantial conformity it must be rated a 3 or 4, meaning that all the performance indicators are in place and no more than one fails to function at the level described in each requirement.	If the systemic factor is not rated substantially achieved, the PIP must include measures to bring the factor up to standards.	Same as above.

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Systemic Factor #3: Quality Assurance	The State has developed and implemented standards to ensure that children in foster care placements are provided quality services that protect the safety and health of the children	Strength or Area Needing Improvement	N/A	There are two performance indicators associated with this systemic factor. In order for the systemic factor to be in substantial conformity it must be rated a 3 or 4, meaning that all the performance indicators are in place and no more than one fails to function at the level described in each requirement.	If the systemic factor is determined not to be in substantial conformity, the PIP must include measures to bring the factor up to substantial conformity, based on the State plan requirements used to determine substantial conformity.	Same as above.
	The State is operating an identifiable quality assurance system that is in place in the jurisdictions where the services included in the CFSP are provided, evaluates the quality of services, identifies strengths and needs of the service delivery system, provides relevant reports, and evaluates program improvement measures implemented.	Strength or Area Needing Improvement				

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Systemic Factor #4: Staff and Provider Training	The State is operating a staff development and training program that supports the goals and objectives in the CFSP, addresses services provided under titles IV-B and IV-E, and provides initial training for all staff who deliver these services.	Strength or Area Needing Improvement	N/A	There are three performance indicators associated with this systemic factor. In order for the systemic factor to be in substantial conformity it must be rated a 3 or 4, meaning that all the performance indicators are in place and no more than one fails to function at the level described in each requirement.	If the systemic factor is determined not to be in substantial conformity, the PIP must include measures to bring the factor up to substantial conformity, based on the State plan requirements used to determine substantial conformity.	Same as above.
	The State provides for ongoing training for staff that addresses the skills and knowledge base needed to carry out their duties with regard to the services included in the CFSP.	Strength or Area Needing Improvement				
	The State provides short-term training for current or prospective foster parents, adoptive parents, and staff of State licensed or approved facilities that care for children receiving foster care or adoption assistance under title IV-E that addresses the skills and knowledge base needed to carry out their duties with regard to foster and adopted children.	Strength or Area Needing Improvement				

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Systemic Factor #5: Service Array	The State has in place an array of services that assess the strengths and needs of children and families and determine other service needs, address the needs of families in addition to individual children in order to create a safe home environment, enable children to remain safely with their parents when reasonable, and help children in foster and adoptive placements achieve permanency.	Strength or Area Needing Improvement	N/A	There are three performance indicators associated with this systemic factor. In order for the systemic factor to be in substantial conformity it must be rated a 3 or 4, meaning that all the performance indicators are in place and no more than one fails to function at the level described in each requirement.	If the systemic factor is determined not to be in substantial conformity, the PIP must include measures to bring the factor up to substantial conformity, based on the State plan requirements used to determine substantial conformity.	Same as above.
	The services in item 35 are accessible to families and children in all political jurisdictions covered in the state's CFSP.	Strength or Area Needing Improvement				
	The services in item 35 can be individualized to meet the unique needs of children and families	Strength or Area Needing Improvement				

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Systemic Factor #6: Agency Responsiveness to Community	In implementing the provisions of the CFSP, the State engages in ongoing consultation with tribal representatives, consumers, service providers, foster care providers, the juvenile court, and other public and private child and family-serving agencies, and includes the major concerns of these representatives in the goals and objectives of the CFSP.	Strength or Area Needing Improvement	N/A	There are three performance indicators associated with this systemic factor. In order for the systemic factor to be in substantial conformity it must be rated a 3 or 4, meaning that all the performance indicators are in place and no more than one fails to function at the level described in each requirement.	If the systemic factor is determined not to be in substantial conformity, the PIP must include measures to bring the factor up to substantial conformity, based on the State plan requirements used to determine substantial conformity.	Same as above.
	The agency develops, in consultation with these representatives, annual reports of progress and services delivered pursuant to the CFSP.	Strength or Area Needing Improvement				
	The State's services under the CFSP are coordinated with services or benefits of other Federal or federally assisted programs serving the same population.	Strength or Area Needing Improvement				

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Systemic Factor #7: Foster and Adoptive Parent Licensing, Recruitment, and Retention	The State has implemented standards for foster family homes and child care institutions which are reasonably in accord with recommended national standards.	Strength or Area Needing Improvement	N/A	There are five performance indicators associated with this systemic factor. In order for the systemic factor to be in substantial conformity it must be rated a 3 or 4, meaning that all the performance indicators are in place and no more than one fails to function at the level described in each requirement.	If the systemic factor is determined not to be in substantial conformity, the PIP must include measures to bring the factor up to substantial conformity, based on the State plan requirements used to determine substantial conformity.	Same as above.
	The standards are applied to all licensed or approved foster family homes or child care institutions receiving title IV-E or IV-B funds.	Strength or Area Needing Improvement				
	The State complies with Federal requirements for criminal background clearances as related to licensing or approving foster care and adoptive placements and has in place a case planning process that includes provisions for addressing the safety of foster care and adoptive placements for children.	Strength or Area Needing Improvement				
	The State has in place an identifiable process for assuring the diligent recruitment of potential foster and adoptive families that reflect the ethnic and racial diversity of children in the State for whom foster and adoptive homes are needed.	Strength or Area Needing Improvement				

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Systemic Factor #7: Foster and Adoptive Parent Licensing, Recruitment, and Retention (continued)	The State has in place a process for the effective use of cross-jurisdictional resources to facilitate timely adoptive or permanent placements for waiting children.	Strength or Area Needing Improvement	N/A	There are five performance indicators associated with this systemic factor. In order for the systemic factor to be in substantial conformity it must be rated a 3 or 4, meaning that all the performance indicators are in place and no more than one fails to function at the level described in each requirement.	If the systemic factor is determined not to be in substantial conformity, the PIP must include measures to bring the factor up to substantial conformity, based on the State plan requirements used to determine substantial conformity.	Same as above.